



PATENT  
Attorney Docket No. EMP-001  
(8935/5)

216 / #4  
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5-22-02


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE **RECEIVED**

APR 17 2002

APPLICANTS: Chung et al. CONFIRMATION NO.: 2590  
SERIAL NO.: 10/087,180 GROUP NO.: 2161 **Technology Center 2100**  
FILING DATE: March 1, 2002 EXAMINER: Not Yet Assigned  
TITLE: SYSTEM AND METHODS FOR DETERMINING CONTRACT COMPLIANCE

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any documents referred to as enclosed herein, are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on April 9, 2002.

  
Jacqueline L. Marlier

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith are:

Transmittal Form (1 page); Information Disclosure Statement (2 pages); Form PTO-1449 (1 page); References Labeled A1-A4 & B1-B5; this Certificate of First Class Mailing; and a mailroom postcard.

# TRANSMITTAL FORM



Application Serial Number	10/087,180
Filing Date	March 1, 2002
First Named Inventor	Chung
Group Art Unit	2161
Confirmation Number	2590
Examiner Name	Not yet assigned
Attorney Docket No.	EMP-001
BATCH NO. (after allowance)	Not applicable
Patent No.	Not applicable
Issue Date	Not applicable

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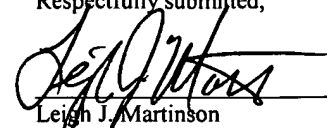
## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form  <input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]  <input type="checkbox"/> Petition for Extension of Time  <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations (A1-A4; B1-B5)  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)  <input type="checkbox"/> Formal Drawing(s)  <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal  <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application  <input type="checkbox"/> Small Entity Statement  <input type="checkbox"/> CD(s) for large table or computer program  <input type="checkbox"/> Amendment After Allowance  <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences  <input type="checkbox"/> Appeal Brief (in triplicate)  <input type="checkbox"/> Status Inquiry  <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8  <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8  <input type="checkbox"/> Additional Enclosure(s) (please identify below)
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## CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator  
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High Street Tower  
125 High Street  
Boston, MA 02110  
Tel. No.: (617) 248-7000  
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## SIGNATURE BLOCK

Respectfully submitted,  
  
 Leigh J. Martinson  
 Agent for Applicants  
 Testa, Hurwitz & Thibault, LLP  
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 125 High Street  
 Boston, MA 02110  
  
 Date: April 9, 2002  
 Reg. No. 50,749  
 Tel. No.: (617) 310-8081  
 Fax No.: (617) 248-7100



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**SERIAL NO.:** 10/087,180 **GROUP NO.:** 2161  
**FILING DATE:** March 1, 2002 **EXAMINER:** Not Yet Assigned  
**TITLE:** SYSTEM AND METHODS FOR DETERMINING CONTRACT COMPLIANCE

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the publications are enclosed.

**REMARKS**

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application, or within three (3) months of the **date of entry of the national stage** as set forth in 37 CFR 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 CFR 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 CFR 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 CFR 1.17(p), namely **\$180.00**, is included herein, or
- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 CFR 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

### STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 CFR 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,



Leigh J. Martinson  
Agent for Applicants  
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High Street Tower  
125 High Street  
Boston, Massachusetts 02110

Date: April 9, 2002  
Reg. No. 50,749

Tel. No.: (617) 310-8081  
Fax No.: (617) 248-7100



FORM PTO - 1449

## INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: EMP-001

APPLICANT(S): Chung et al.

SERIAL NO.: 10/087,180

FILING DATE: March 1, 2002

GROUP: 2161

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## U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	6,286,052 B1	9/4/2001	McCloghrie et al.	709	238	
	A2	5,905,715	5/18/1999	Azarmi et al.	370	244	
	A3	5,893,905	4/13/1999	Main et al.	705	11	
	A4	5,438,570	8/1/1995	Karras et al.	370	94.2	

## FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	01/47190 A1	6/28/2001	WO	H04L	12/26		No	Yes
	B2	00/72183 A2	11/30/2000	WO	G06F	17/00		No	Yes
	B3	00/72183 A3	11/30/2000	WO	G06F	17/60		Yes	Yes
	B4	00/58881	10/5/2000	WO	G06F	17/60		No	Yes
	B5	98/42102	9/24/1998	WO	H04L	12/24		No	Yes

## OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
EXAMINER		DATE CONSIDERED